

N A T I O N A L

E N D O W M E N T

F O R T H E

H U M A N I T I E S

Division of Research Programs

Fellowship
Programs at
Independent
Research
Institutions

APPLICATION DEADLINE:
September 1, 2000

This Booklet contains the guidelines and application forms necessary to apply to Fellowship Programs at Independent Research Institutions. These forms may be photocopied for use by more than one person.

TIMETABLE FOR FELLOWSHIP PROGRAMS AT INDEPENDENT RESEARCH INSTITUTIONS

Drafts Due	Postmark Deadline	Notification	Projects Beginning
August 1	September 1	April 2	2002 academic year

Send all applications to:

National Endowment for the Humanities
Division of Research Programs
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506

Telephone: 202/606-8200

FAX: 202/606-8394

E-mail address: fpiri@neh.gov

NEH information and forms are also available at <http://www.neh.gov>.

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Customer Service Standards

In assisting you as a prospective applicant, you can expect us to:

- o respond courteously and quickly to your requests for information about our grant programs;
- o be able to describe the programs that best suit your needs;
- o provide application instructions and forms that are clear and easy to use;
- o offer prompt and thoughtful advice and guidance in preparing your application;
- o explain accurately the procedures that would be used to evaluate your application and tell you when you could expect a decision.

In assisting you as an applicant, you can expect us to:

- o ensure that the evaluation of your application is fair, expeditious, and informed by the expert judgments of your peers;
- o notify you promptly of the decision on your application;
- o provide substantive reasons for the decision reached on your application;
- o give you helpful advice, if you are unsuccessful, on revising or resubmitting your application.

In assisting you as a grantee, you can expect us to:

- o provide you with an award document that is clear and easy to understand and that sets forth sensible reporting requirements;
- o provide the names of our staff members who will serve as contacts for your reports and for any assistance you may need;
- o answer promptly and satisfactorily all requests for information on NEH policies and procedures;
- o read and acknowledge promptly your reports on grant activities;
- o maintain a professional, helpful relationship with you as you carry your project to completion.

THE NATIONAL ENDOWMENT FOR THE HUMANITIES

In order “to promote progress and scholarship in the humanities and the arts in the United States,” Congress enacted the National Foundation on the Arts and the Humanities Act of 1965. This act established the National Endowment for the Humanities as an independent grant-making agency of the federal government to support research, education, and public programs in the humanities.

The Humanities

The act that established the National Endowment for the Humanities says “The term ‘humanities’ includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archaeology; comparative religion; ethics; the history, criticism, and theory of the arts; those aspects of social sciences which have humanistic content and employ humanistic methods; and the study and application of the humanities to the human environment with particular attention to reflecting our diverse heritage, traditions, and history and to the relevance of the humanities to the current conditions of national life.”

Organization of the Endowment

Grants are made through four divisions (Education Programs, Preservation and Access, Public Programs, and Research Programs) and two offices (Challenge Grants and the Federal/State Partnership).

Presidential Directives

The National Endowment for the Humanities participates in three government-wide Presidential Directives. Executive Order 12876 mandates federal efforts to help strengthen and ensure the long-term viability of the nation’s Historically Black Colleges and Universities, Executive Order 12900 mandates federal efforts on behalf of educational excellence for Hispanic Americans, and Executive Order 13021 mandates increased accessibility of federal resources for Tribal Colleges. The NEH encourages applications that respond to these Presidential Directives.

WELCOME TO THE NATIONAL ENDOWMENT FOR THE HUMANITIES

“Democracy demands wisdom and vision in its citizens” --National Foundation on the Arts and the Humanities Act of 1965

FELLOWSHIP PROGRAMS AT INDEPENDENT RESEARCH INSTITUTIONS

This program makes grants in support of fellowship programs administered by independent centers for advanced study, libraries, and museums in the United States that support research in the humanities and by American overseas research centers and other organizations that have expertise in the promotion of research on foreign cultures. Fellowships awarded by each institution enable individual scholars to pursue their own research and to participate in the interchange of ideas with other scholars. In assessing an application from an institution, the Endowment emphasizes the intrinsic importance of the institution's fellowship programs to the advancement of thought and knowledge in the humanities, the quality of the research previously supported by the institution and the productivity of its fellows, the relation of this work to the institution's mission and resources, the degree to which the institution promotes collegial exchange, the effectiveness of the administration of the programs, and the equity of the application and selection procedures. A fundamental consideration in the awarding of funds to a center is the advantage to scholars of working collegially at the center in contrast to working individually at separate locations. Important in the evaluation of institutions and organizations that facilitate research on foreign cultures are the services and specialized expertise the institutions provide in the administration of their fellowship programs. Priority is given to programs that provide long-term fellowship opportunities (four or more months in duration), but proposals for support of other types of research grant programs are also eligible provided NEH funds are applied only to stipends for scholars and not to administrative costs.

Endowment funds awarded in this program may be used only to support fellowship stipends and standard allowances, and a portion of the costs of publicizing the availability of the NEH fellowships and the costs of selecting the fellows.

Individual scholars interested in pursuing research at any of the centers or international research organizations receiving Endowment support should apply directly to the institutions themselves. A list of currently funded institutions is available elsewhere on this website or by request.

Eligibility

To be eligible for funding through the Fellowship Programs at Independent Research Institutions an applicant institution must be:

- A U.S. nonprofit center, organization or society;
- Tax-exempt, as determined by the U.S. Internal Revenue Service;
- Financed, governed, and administered independently of institutions of higher education.

Since the purpose of the Endowment's support is to enhance existing fellowship programs, eligibility is limited to institutions that have established and maintained fellowship programs with their own or other private funding.

By accepting a grant, a recipient certifies that it meets the eligibility requirements stated above. It should be understood by the grant recipient that in the event an award of a grant is erroneously made to an organization, institution, or group subsequently determined to be ineligible for a grant, the award may be terminated.

All applicants are encouraged to correspond with the staff of Fellowship Programs at Independent Research Institutions early in their planning about questions of eligibility. Applicants should also bear in mind that eligibility does not ensure that an application will be competitive in the review process.

What Is NOT Supported Through Fellowship Programs at Independent Research Institutions

The program does **not** provide support for fellowships for

- research undertaken in the pursuit of an academic degree;
- the preparation of textbooks;
- projects that focus on pedagogical theory, research in educational methods, tests, and measurements, or cognitive psychology;
- projects that are directed at persuading an audience to a particular political, philosophical, religious, or ideological point of view, or that advocate a particular program of social action or change, and projects that examine controversial issues without taking into account competing perspectives.

Conditions Governing NEH Fellowships Administered by Independent Institutions

1. Eligibility for NEH Fellowships

NEH fellowships are for persons who have already completed their formal professional training. Consequently, degree candidates and persons seeking support for work in pursuit of a degree are not eligible to hold NEH fellowships administered by independent institutions. Foreign nationals are not eligible to apply unless they have lived in the United States for the three years immediately preceding the application deadline for the fellowship. Institutions must give all eligible applicants equal consideration; they may not restrict applications to members of a scholarly organization or to persons affiliated with institutional members of a scholarly organization. Institutions may not require an administrative or application fee of applicants for NEH funds. Institutions may not accept applications from any officer, employee, member of the board of trustees or advisers, selection committee member, or officer, employee, or board member of a parent organization until at least one year has elapsed since the person's last service in such a position.

2. Publicity

Institutions should publicize the NEH fellowships and their application procedures clearly and effectively so that all qualified potential applicants may learn of the full range of opportunities.

3. Selection Procedures

Each institution should ensure fair and informed selection of recipients of NEH fellowships by relying upon the recommendations of an external committee composed of qualified scholars drawn from outside the institution's staff and governing bodies. Staff, officers, board members, and trustees of centers may not serve as voting members on committees that review applications for NEH awards. The same restrictions apply to staff, officers, and trustees of umbrella organizations. NEH funds may be awarded only to applicants recommended by the external committees.

4. Fellowship Tenure

In the case of long-term fellowships, tenure must be continuous. An individual long-term fellowship may be split between two NEH-funded institutions with the agreement of those institutions.

5. Stipends

Stipends and allowances for recipients of NEH funds are determined in accordance with an institution's usual practices, although the maximum amount

that may be awarded to an individual from NEH funds is \$30,000 in any twelve-month period. Fellowships of six to twelve months may carry the maximum stipend of \$30,000, fellowships of five months a maximum stipend of \$25,000, and fellowships of four months a maximum of \$20,000. An organization may supplement the stipend from its own funds, but in no case may the total amount that an individual receives exceed his or her salary for the portion of the academic or calendar year equivalent to the tenure period of the award, except for customary allowances for travel and other research expenses.

6. Other Benefits and Services to NEH-funded Scholars

Institutions must grant recipients of NEH funds all benefits, services, and accommodations normally accorded other recipients.

7. Reports on the Selection Process

After the completion of each competition and the award of fellowships, the institution must provide the Endowment with a full report on its competition, from publicity campaign to selection of fellows. In particular, the institution must provide:

- a) copies of printed material used to publicize the availability of NEH fellowships;
- b) a description of the audience at which the publicity was aimed and a list of the journals, newsletters, institutions, and organizations to which publicity materials were sent;
- c) a detailed account of the procedures used to select recipients of NEH funds, including the names, institutions, and fields of the people who reviewed the applications; and instructions and criteria of selection supplied to reviewers;
- d) a list of the NEH grantees selected, annotated with their fields or departments, their institutions, the tenure periods and stipend amounts of their awards, a brief description of their projects, and, in the case of grantees going abroad, the country or countries in which they will be conducting research;
- e) a comparative statistical analysis of the NEH grantees and the group of applicants eligible for NEH awards by field, type of institution, academic rank, and geographical distribution; and numbers of applications and awards made overall in the institution's competitions;

- f) a comparison of the NEH grantees and eligible applicants in each separate grant category with the previous year's grantees and eligible applicants and an analysis of any discernible statistical trends in recent years or sudden changes from the previous year.

8. Maintenance of Application Files of NEH-funded Scholars

Institutions must maintain for a period of four years, dating from the beginning of the tenure period of the fellowship, files containing the full applications of NEH-funded scholars, including résumés and project proposals and indicating tenure periods and stipend amounts. Institutions are required to provide copies of application files immediately upon the request of the Endowment.

9. Acknowledgment of Endowment Support

Institutions are expected to include an acknowledgment of the support of the National Endowment for the Humanities in all their publications that result from or pertain to the use of the grant funds. Materials prepared by the institution to advertise the availability of fellowships should contain a statement of the estimated number of NEH grants available. Acknowledgment of NEH support should also appear in materials that describe the procedures for the selection of fellows and other grantees, announcements of the individuals selected, and reports on the substantive work accomplished by NEH-funded scholars. Persons supported in whole or in part by NEH funds must be so identified, even when other sources of funding are involved. In addition, institutions are expected to insure, unless advised otherwise, that all scholarly articles, books, and other publications resulting from work conducted by NEH-funded scholars contain an acknowledgment of NEH support.

10. Publications by NEH Fellows at Centers

An organization should list in its interim reports to NEH all books, articles, and monographs appearing during the year being reported that were prepared by NEH grantees supported under the current grant or previous grants and should provide NEH's Division of Research Programs with one copy of all such books, articles, and monographs.

11. Responsibilities of Recipients of NEH Funds Through Fellowship Programs at Independent Research Institutions

Recipients of long-term fellowships (four months and longer) must devote full time to their research projects and may not accept teaching assignments or undertake any other major activities during the tenure of their award. Fellows must submit final reports on their activities and accomplishments to NEH's Division of Research Programs. Recipients of NEH funds should also see that all scholarly articles, books, and other publications resulting from research sup-

ported by their awards contain an acknowledgment of NEH support.

The Evaluation Process

Each Endowment application is assessed first by knowledgeable persons outside the agency who are asked for their judgments about the quality and significance of the proposed project. About 650 scholars, professionals in the humanities, and other experts serve on approximately 125 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. In the review of Fellowship Programs at Independent Research Institutions, the judgment of panelists normally is supplemented by individual site visit reports or reviews solicited from specialists who have extensive knowledge of the specific subject area or technical aspects of the application under review.

The advice of evaluators is assembled by the staff of the Endowment, who comment on matters of fact or on significant issues that would otherwise be missing from the review. These materials are then forwarded to the National Council on the Humanities, a board of twenty-six citizens nominated by the President of the United States and confirmed by the Senate. The National Council meets three times each year to advise the Chairman of the Endowment. The Chairman, who is appointed for a four-year term by the President with the consent of the Senate, takes into account the advice provided by this review process and, by law, makes the final decision about funding.

Questions for the Review of Applications

- How important to the advancement of thought and knowledge in the humanities are the grant programs for which funding is being requested?
- How strong is the institution's previous record in sponsoring these programs? Have those to whom the institution has granted funds been productive? Have their scholarly contributions been important and high in quality?
- How are the areas in which fellowships will be given related to the institution's mission and resources and to the advancement of research in the discipline or disciplines involved?

Preliminary Proposal

At least four weeks before the September 1 application deadline, institutions planning to apply are urged to submit a draft of the proposal. This preliminary step will permit the staff of the Endowment to assess eligibility, advise on the preparation of the application, call or write the applicant about the proposal, and, if appropriate, arrange a site visit to take place after the formal application has been submitted. Staff responses to preliminary proposals are not a part of the formal review process, which normally begins with a site visit.

- How effective are the direction and administration of the programs?
- How sound and practical are the institution's procedures for attracting applications? How effective is the publicity for the competition for fellowships?
- How expert and equitable is the process of selecting grant recipients?
- What are the quality and scope of any research collections, facilities, services, or other resources that the institution provides to the grantees for their work? In the case of residential programs, how effective are the organization's efforts to encourage intellectual exchange among grantees and with local scholars?
- Is the proposed budget request well justified?
- Are there any changes in the programs or in the procedures for administering them that should be recommended?

GRANTEE RESPONSIBILITIES

Before any work is done in developing a proposal, the project director and the authorizing official of the applicant institution should review the following section on grantee responsibilities to determine if their institution is able to comply with these requirements. **The authorizing official is also advised to review the material on certifications in the appendix to this brochure before signing Block 12 of the application cover sheet.**

The grantee organization is required to

- o have a sound financial management system that records separately within its general accounting system the receipt and disbursement of grant funds and cost sharing contributions and that monitors the expenditure of these funds against the approved budget;
- o carry out project activities in accordance with the workplan provided in the approved application—changes in key project personnel, project scope or design, or in the arrangements to contract out project activities must be submitted to NEH in advance for review and approval;
- o have in place a written organizational prior approval system for prior review and approval of all grant actions and expenditures that the grantee institution is delegated authority to approve;
- o maintain adequate documentation of the time spent by all project personnel on grant activities;
- o have an audit performed that meets the requirements of Office of Management and Budget Circular A-133 whenever \$300,000 or more in federal funds is expended during a fiscal year;
- o ensure that all procurement transactions are conducted in a manner that provides, to the maximum extent practical, open and free competition and that for purchases in excess of \$100,000 any use of sole-source contracts is fully justified and documented;
- o return to NEH a portion of the income earned on services and products resulting from grant activities when this is required by the terms and conditions of an award; and
- o acknowledge NEH support in all materials publicizing or resulting from grant activities.

APPLICATION INSTRUCTIONS

The application should include the following parts: a cover sheet, a table of contents, a narrative description of the center's program, a budget, appendices, and a statement of the history of any federal grants received by the institution. The form for the cover sheet is enclosed.

General Advice

All applications to the Endowment should present, in a clear, coherent manner, a sound intellectual justification for the proposal and an appropriate plan of work. Successful applications are usually free of jargon, clichés, pedantry, unsubstantiated claims, unnecessary repetition, and imprecise prose. Titles of projects should be brief, descriptive, and substantive. Proposal narratives should be limited to twenty-five or fewer double-spaced pages, with appendices used to provide appropriate illustrative material. Résumés may be provided in any format but should be concise and current and should include pertinent information concerning an individual's education, experience, and other qualifications. Simple binding is recommended; applicants should not send proposals in heavy binders.

Prospective applicants are advised to review carefully the list of questions (see page 9) that evaluators of Fellowship Programs at Independent Research Institutions are asked to address. The issues raised in those questions should be addressed in the appropriate sections of the proposal. Applicants also are advised that it is preferable to follow the format outlined below.

NEH Application Cover Sheet

The NEH Application Cover Sheet and instructions for completing it are included in this booklet.

Table of Contents

The table of contents should list the parts of the application, and the subdivisions within them, with page numbers.

Narrative Description

Applicants may have much of the information requested in this section in their annual reports, auditors' reports, and brochures. Applicants should include such material and refer to it when preparing a detailed description that includes the following sections:

Description of the Institution and its Programs. This section should contain clear and concise statements about the nature of the institution and the importance of the work it supports for the advancement of thought and knowledge in the humanities. Applicants should describe the institution's purposes, philosophy, history, administration, and governance, as well as the usual sources of funding. In the case of centers and institutions that maintain overseas offices, the description should include the location of the center or offices; the administrative structure and size of the staff employed there; the size and scope of library holdings or special collections available on site or at nearby institutions; the resources and facilities available for study, research, and discussion (such as offices, computer equipment, word processors, carrels, and common rooms); and any services that would be available to recipients of NEH grants (such as secretarial or research assistance, photocopying, meals, and housing or housing assistance).

Nature of the Fellowship Program. Applicants should describe the history, purpose, scope, and focus of the fellowship program or programs for which support is requested and the place of the program or programs in relation to the overall structure and goals of the institution. This description should include information about any special fields of interest on which the grant program focuses and, in the case of residential programs, any particular mix of scholars that the institution attempts to achieve. Applicants should describe the activities of their grantees from several recent years, reporting on their research and any informal or structured collegial activities in which they participated. In the case of centers, applicants should address the ways in which the institution nurtures collegiality among the scholars and interaction with the local scholarly community. This would be an appropriate place to describe the institution's seminars, colloquia, luncheon symposia, and any other ways in which the institution seeks to foster intellectual interaction.

If support is requested for grant programs other than long-term fellowships, applicants should provide information similar to what is specified in the paragraph above and, in addition, should explain how the amounts of stipends for grant recipients are determined.

The applicant should provide in appendices:

- lists of all fellows for the current year and for at least the two preceding years including their fields, their home institutions, and brief descriptions of their projects. This list should distinguish long-term (four month and longer) from short-term (one- to three-month) fellows. Applicants for renewal grants should identify the NEH fellows on the list.

- a comparative statistical analysis of the applicant pool and the resulting awards for the current year and each of the two preceding years, distinguishing applicants for NEH fellowships from others and including an explanation of any significant trends and a statement of any efforts that the center is making to influence the trends. Fields of study, types of institution, academic rank, and geographical distribution are the most important general categories of analysis.
- a bibliography with full citations of books and articles that are attributable to previous fellowships. Those attributable to NEH fellowships should be so designated.

Publicity Procedures. Applicants should describe the methods used to encourage a broad and diverse group of scholars to apply to their programs. Target audiences for publicity should be identified along with the means by which the applicant attempts to reach those audiences. Because one of the purposes of the Endowment's support for fellowships at centers for advanced study is to encourage collegial exchange, applicants should describe the publicity methods used to attract a diverse group of scholars with related interests. Applicants should append lists of publications, organizations, and other institutions receiving announcements as well as copies of announcements and posters used to publicize the program. An assessment of the effectiveness of past publicity efforts should also be included.

Selection Procedures. Applicant institutions must provide an explanation of how they assure an equitable and informed selection process. Applicants should provide full details on the selection process, including a description of the procedures and schedule, the criteria of selection used in making awards, the conflict-of-interest rules by which the selection committee deliberations are governed, and the criteria by which members of selection committees themselves are chosen and the years of service for which they are retained. In particular, applicants should describe the kind of balance they try to achieve in their committees with respect to discipline, institutional and geographical diversity, and other factors.

In cases where awards are made through more than one program or committee, applicants should describe the selection procedures used by each program or committee and explain how and by what criteria funds are allocated among programs or committees to award to individual scholars. Any variations in the kinds or sizes of awards granted should also be explained.

The applicant should provide in appendices:

- copies of form letters used in responding to inquiries from potential applicants.
- copies of application forms and instructions.
- lists of members of the selection committee or rating panel or slate of outside reviewers who chose the fellows or other grantees for the current year and the two preceding years, annotated as to discipline, institutional affiliation, and academic rank.
- a statement of the guidance, instructions, and selection criteria provided to persons who take part in the selection of fellows and other grantees.

Program Evaluation. The kinds of reports requested from fellows and other grantees should be described as should the results of the most recent assessment of the value of the institution's programs to these scholars. Copies of reports from recipients of NEH funds for the preceding three years should be appended. Institutions that have not made awards with NEH funds should attach reports from their long- or short-term postdoctoral grantees.

Institution Staff and Program Administration. Applicants should identify the permanent professional staff who are attached to the program or programs for which support is requested. They should explain how responsibility for each program is divided among the staff and the extent to which they will be directly involved in the administration of the program. Brief résumés for the director of the institution and for the principal staff involved in the programs should be included in an appendix.

Program Funding. Applicants should list the stipend amounts and lengths of tenure of the fellowships offered. Applicants should explain whether they offer a set amount for grantees' stipends, match salaries, respond to budgets submitted by grantees, or use some other method to determine the stipends. Applicants should also note whether stipends are offered for living expenses only or include amounts to defray travel expenses.

In this section, applicants should also provide an annual budget for their complete fellowship grant program including funds budgeted from the institution's own resources and from other sources. This budget should be divided into categories of expenses similar to those in the NEH budget described below, and it should clearly distinguish long-term from short-term research awards.

If the institution has received an **NEH Challenge Grant** to endow fellowships, the applicant should explain how the annual income from the endowment generated by the Challenge Grant is currently used.

In addition, the applicant should provide information about the extent to which the institution can continue its grant programs without additional NEH funding. For example, the applicant should describe what reductions in numbers of grantees in the humanities and length of tenure would be necessary without NEH support.

Future of the Institution's Fellowship Program. Applicants should describe any proposed changes in the institution's focus, interests, purposes, scope, structure, or mix of fellows and should explain how these changes will affect the work of scholars supported through the institution's programs. Any changes in the number of grantees (NEH-supported and other) or stipend levels needed to achieve the institution's purposes should also be explained.

Proposed Budget

See page 23 for budget instructions.

Appendices

The appendices should be limited to supplementary but essential materials. These materials should include:

- a) résumés from the relevant members of the institution's staff;
- b) a list of members of the institution's board of trustees;
- c) lists of publications of previous NEH and other grantees (NEH grantees should be clearly identified as such, and full citations should be given for all publications);
- d) lists of grantees (NEH and other) for the current and at least the past two years, including disciplines, institutional affiliations, and brief descriptions of their projects (applicants for renewal grants should identify recipients of NEH funds on the list);
- e) statistics on applications and awards as described in the section entitled "Nature of the Fellowship Program" (page 13);
- f) lists of the names of publications, organizations, and institutions receiving announcements of the grant programs (addresses are unnecessary);
- g) copies of materials advertising the availability of fellowships;
- h) copies of application forms and instructions and form letters used in responding to inquiries from potential applicants;

- i) lists of members of the selection committee or rating panel or slate of outside reviewers who chose the fellows or other grantees for the current year and the two preceding years, annotated as to discipline, institutional affiliation, and academic rank;
- j) a statement of the guidance, instructions, and selection criteria provided persons who take part in the selection of fellows and other grantees; and
- k) copies of reports from long-term (four months or more) grantees for the last three years.

Statement of History of Grants

If the institution has received previous support from any federal sources, including the Endowment, in the five years preceding this application, please list the sources, dates, and total dollar amount of each contribution. If the institution has had a long history of support, the sources and contributions may be grouped and summarized so that the list will not exceed one page.

Formal Submission

A checklist for assembling the final application is included on the inside of the back cover of this booklet. Each copy of the application should be stapled or bound securely.

Deadline

The complete application package must be postmarked no later than **September 1**. Receipt of the application will be acknowledged by postcard within four weeks after the application deadline. Applicants who do not receive such an acknowledgment should call or write the Endowment as soon as possible. The review of applications requires approximately seven months, and applicants are notified about the Endowment's decision early in April.

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paper-work burden. NEH estimates the average time to complete this application is eight hours per response. This estimate includes the time for reviewing instructions, gathering the necessary data, and completing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing completion time, to the Director of the Office of Publications, National Endowment for the Humanities, Washington, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, D.C. 20503. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

NEH APPLICATION COVER SHEET INSTRUCTIONS

Block 1—Project Director

Item a. Enter the name and mailing address of the center staff member who will be chiefly responsible for the project.

Item b. In the space provided, enter the number corresponding to the project director's preferred form of address:

1—Mr. 2—Mrs. 3—Miss 4—Ms. 5—Professor 6—Dr.

Item c. Enter the project director's full telephone number with area code and, if applicable, extension. Whenever possible, one of the telephone numbers listed should be a number at which a message can be left. Enter FAX number and e-mail address if applicable.

Block 2—Type of Applicant

Item a. Identify *Type* such as business, religious, museum, historical society, government (state, local, etc.), public media (TV, radio, newspaper, etc.), educational (elementary/secondary, school district, 2- or 4-year college, etc.) library (public, research, etc.), or center (advanced study, research, etc.).

Item b. Identify *Status* as either Private Nonprofit or Unit of State or Local Government. Example: *Type*: Center for Advanced Study. *Status*: Private Nonprofit.

Block 3—Type of Application

Check appropriate type:

Item a. New—applicants requesting a new period of funding, whether for a new project or for a project previously funded by NEH, should check this box.

Item b. Supplement—applicants requesting additional funding to a current NEH grant should check this box.

Block 4—Program to which Application Is Being Made

Preprinted.

Block 5—Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. Project activities need not begin on the first day, but all project activities must take place within the requested grant period.

Block 6—Project Funding

Enter here the appropriate figures from the Project Budget that is part of your application.

Block 7—Field of Project

Indicate the category and code from the listing on the reverse side of the cover sheet to indicate the **specific** humanities field that best describes the content of the project.

Block 8—Descriptive Title of Project

Enter a brief title that clearly identifies the project and its humanities content. This title should be informative to a nonspecialist. NEH is obliged to be as clear as possible to the public about awards that it makes. The descriptive title will be used for this purpose whenever possible, but the Endowment staff may assign a different working title.

Block 9—Description of Project

Provide a brief description of the proposed project. Do not exceed the space provided.

Block 10—Will This Proposal Be Submitted to Another Government Agency or Private Entity for Funding?

This information is sought without prejudice to the application. NEH frequently cosponsors projects with other funding sources. If not applicable, indicate “N/A.”

Block 11—Institutional Data

Item a. Indicate the name of the institution and the city and state of its official mailing address.

Item b. Enter the institution’s employer identification number.

Item c. Indicate the name and title of the person who is authorized to submit applications on behalf of the institution or organization and to provide the certifications required in Block 12.

Item d. Indicate the name, mailing address, form of address (see instructions for Block 1b), and telephone number of the person who will be responsible for the financial administration of the grant if an award is made. For example, at many universities the provost, vice president, president, or chancellor is the person “authorized” to submit an application (see item c), but the actual administration of the project—such as, negotiating the project budget and ensuring compliance with the terms and conditions of the award—is the responsibility of a grants or research officer. It is the latter person who should be listed here.

Block 12—Certification

The Endowment is required by government-wide regulations to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Institutional applicants are required to

Privacy Act. This information is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. The principal purpose for which the information will be used is to process the grant application. The information may also be used for statistical research, analysis of trends, and Congressional oversight. Failure to provide the information may result in the delay or rejection of the application.

certify that they will comply with the nondiscrimination statutes. When an applicant requests more than \$100,000 in grant funds, it must also certify that no federal funds have been or will be paid to any person to influence the funding decision for the specific proposal that is being submitted for consideration. In the unlikely event that an NEH applicant has used or plans to use nonfederal funds for this purpose, it must request, complete, and submit a standard disclosure form. These certifications, which appear in the Appendix to the guidelines, should be read before Block 12 of the application cover sheet is signed. Additional information on these certifications is available from the NEH website, <http://www.neh.gov> or from the NEH Grants Office, Room 311, Washington, D.C. 20506, 202/606-8494.

FELLOWSHIP PROGRAMS AT INDEPENDENT RESEARCH INSTITUTIONS
APPLICATION COVER SHEET OMB No. 3136-0134 Expires 09/30/2018

OMB No. 3136-0134 Expires: 6/30/03

<p>1 Project director</p> <p>a. Name and mailing address:</p> <p>_____</p> <p style="text-align: center;">(last) (first) (initial)</p> <p>_____</p> <p>_____</p> <p>_____</p> <p style="text-align: center;">(city) (state) (zip code)</p> <p>b. Form of address:</p> <p>_____</p> <p>c. Telephone numbers:</p> <p>Office: _____/_____ Home: _____/_____</p> <p style="text-align: center;">(area code) (area code)</p> <p>FAX: _____/_____ Email: _____</p> <p style="text-align: center;">(area code)</p>	<p>2 Type of applicant</p> <p>a. Type: _____</p> <p>b. Status: _____</p> <hr/> <p>3 Type of application</p> <p>a. <input type="checkbox"/> new b. <input type="checkbox"/> supplement</p> <p>If b, indicate previous grant number: _____</p> <hr/> <p>4 Program to which application is being made</p> <p>Fellowship Programs at Independent Research Institutions</p> <hr/> <p>5 Requested grant period</p> <p>From: _____ To: _____</p> <hr/> <p>6 Project funding</p> <table style="width: 100%;"> <tr> <td style="width: 80%;">a. Outright funds</td> <td style="width: 20%;">\$ _____</td> </tr> <tr> <td>b. Federal match</td> <td>\$ _____</td> </tr> <tr> <td>c. Total from NEH</td> <td>\$ _____</td> </tr> <tr> <td>d. Cost sharing</td> <td>\$ _____</td> </tr> <tr> <td>e. Total project costs</td> <td>\$ _____</td> </tr> </table>	a. Outright funds	\$ _____	b. Federal match	\$ _____	c. Total from NEH	\$ _____	d. Cost sharing	\$ _____	e. Total project costs	\$ _____
a. Outright funds	\$ _____										
b. Federal match	\$ _____										
c. Total from NEH	\$ _____										
d. Cost sharing	\$ _____										
e. Total project costs	\$ _____										
<p>7 Field of project</p> <p>_____</p> <p style="text-align: center;">(code)</p>	<p>8 Descriptive title of project</p> <p>_____</p>										

9	Description of project (do not exceed space provided)
10	Will this proposal be submitted to another government agency or private entity for funding? (If yes, indicate where and when)

<div style="border: 1px solid black; padding: 2px; display: inline-block; margin-bottom: 5px;">11</div> Institutional Data a. Institution or organization: _____ <div style="text-align: center; margin-top: 10px;">(name)</div> <hr/> <div style="display: flex; justify-content: space-between;"> (city) (state) </div> b. Employer identification number: _____ c. Name of authorizing official: _____ <div style="display: flex; justify-content: space-between; margin-top: 10px;"> (last) (first) (initial) </div> <hr/> <div style="text-align: center;">(title)</div>	d. Name and mailing address of institutional grant administrator: <div style="display: flex; justify-content: space-between; margin-top: 10px;"> (last) (first) (initial) </div> <hr/> <div style="display: flex; justify-content: space-between;"> (city) (state) (zip code) </div> Telephone: _____ / _____ Form of Address: _____ <div style="text-align: center; margin-top: -10px;">(area code)</div> FAX: _____ / _____ Email: _____ <div style="text-align: center; margin-top: -10px;">(area code)</div>
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12 Certification. By signing and submitting this application the authorizing official of the applicant institution (block 11c) is providing the applicable certifications regarding the nondiscrimination statutes and implementing regulations, federal debt status, debarment and suspension, a drug-free workplace, and lobbying activities as set forth in the appendix to these guidelines.

_____/_____/_____
 (printed name) (signature) (date)

NOTE: Federal law provides criminal penalties of up to \$10,000 or imprisonment of up to five years, or both for knowingly providing false information to an agency of the U.S. government. 18 U.S.C. Section 1001

Field of Project Categories and Codes

The following categories and codes should be used to complete block 7 of the NEH Application Cover Sheet. If no exactly appropriate category is provided, please select the larger category that would include the more precise one. (This listing is strictly for use by the NEH staff to help retrieve information about applications and grants by subject matter field. The listing is not comprehensive and is not meant to define the disciplines of the humanities. For that definition and advice about eligibility for Endowment awards, please consult elsewhere in these application materials. The hierarchical arrangement is for convenience.)

Anthropology	L1	Languages	C1
Archaeology	U6	Ancient	CC
Archival Management/ Conservation	I1	Asian	CA
Arts/History and Criticism	MA	Classical	C2
Architecture: History & Criticism	U3	Comparative	C9
Art: History & Criticism	M1	English	CE
Dance: History & Criticism	M3	French	C3
Film: History & Criticism	M4	German	C4
Music: History & Criticism	M5	Italian	C5
Theater: History & Criticism	M2	Latin American	C6
Communications	P2	Near Eastern	CB
Composition & Rhetoric	P1	Slavic	C7
Journalism	P4	Spanish	C8
Media	P3	Law/Jurisprudence	Q1
Education	H1	Library Science	H3
Ethnic Studies	K1	Linguistics	J1
Asian American	K5	Literature	D1
Black/African-American	K4	African	DK
Hispanic American	K3	American	DE
Jewish	K6	Ancient	DC
Native American	K2	Asian	DA
History	A1	British	DD
African	A2	Classical	D2
American	A3	Comparative	D9
Ancient	AC	French	D3
British	A4	German	D4
Classical	A5	Italian	D5
European	A6	Latin American	D6
Far Eastern	A7	Literary Criticism	DI
Latin American	A8	Near Eastern	DB
Near Eastern	A9	Slavic	D7
Russian	AA	Spanish	D8
South Asian	AB	Museum Studies/Historic Preservation	I2
Humanities	U8	Philosophy	B1
Interdisciplinary	U1	Aesthetics	B2
African Studies	G1	Epistemology	B3
American Studies	G3	Ethics	B4
Area Studies	GH	History of Philosophy	B5
Asian Studies	G5	Logic	B6
Classics	G7	Metaphysics	B7
Folklore/Folklife	R1	Non-Western Philosophy	B8
History/Philosophy of Science, Technology, or Medicine	GA	Religion	E1
International Studies	GG	Comparative Religion	E5
Labor Studies	G4	History of Religion	E2
Latin American Studies	GJ	Non-Western Religion	E4
Medieval Studies	G8	Philosophy of Religion	E3
Regional Studies	GF	Social Science	U2
Renaissance Studies	G9	American Government	F2
Rural Studies	GC	Economics	N1
Urban Studies	G2	Geography	U7
Western Civilization	GB	International Relations	F3
Women's Studies	G1	Political Science	F1
		Psychology	U5
		Public Administration	F4
		Sociology	S1

BUDGET INFORMATION, INSTRUCTIONS, AND SAMPLE

Project Budget

The applicant should prepare a budget that includes all expenses charged to outright and matching funds from NEH as well as expenses that are charged to gifts from third parties that NEH is being asked to match. The budget should show expenses, year by year, broken down into the costs of stipends and travel allowances, listed by program where NEH awards are made in more than one program, and proportionate costs of publicity and selection, including printing, postage, and travel and per diem expenses for selection committee members. These are the only allowable project costs in this program.

A sample budget is provided on page 25.

Types of Grant Support: The Endowment supports projects with outright funds, matching funds, and a combination of the two.

Outright Funds: Outright funds are awarded by the Endowment to support approved projects and are not contingent on additional fund-raising by the grantees.

Matching Funds: Matching funds, by contrast, require a grantee to secure gift funds from third parties before federal funds are awarded. Endowment matching grants are made on a one-to-one basis and are intended to stimulate private support for projects in the humanities by offering potential donors the incentive of doubling the impact of their gifts.

Because matching awards enable the Endowment to provide support to a greater number of significant but often costly projects, applicants are encouraged to request complete or partial support in the form of matching grants. Whenever possible, applicants requesting matching funds should identify potential sources of gift funds at the time they submit an application to the Endowment. (See “Eligible Gifts and Donors” below.)

Combined Funds: Applicants may also request a combination of outright and matching funds from the Endowment. For example, if a project will cost \$40,000 and the applicant expects to receive \$5,000 from an eligible third-party donor, the applicant should request \$5,000 in matching funds. The balance of the project’s costs (\$30,000) may be requested in outright funds.

The Endowment may offer funding at a different level than that requested. In some instances, the Endowment may offer matching funds only, or it may offer a combination of matching and outright funds in response to a request for outright funds.

Eligible Gifts and Donors. For the purpose of the Endowment's gifts and matching program, a gift is a voluntary transfer of money (or a noncash contribution that is subsequently converted to cash) from a nonfederal third party to the applicant without compensation or consideration in return. Only gifts that will be used to support budgeted project activities during the grant period are eligible to be matched with federal funds. Ineligible donors include the applicant who will carry out the project and any institution or individual who is involved in project activities and will receive some sort of remuneration from project funds.

Grant Period. The grant period encompasses the entire period for which Endowment support is requested in the current application. All project activities and the expenditure of project funds must occur during the grant period. Grant periods may be for up to four years: the first year of the grant period normally only includes publicity and selection activities, followed by up to three years of fellowship activities.

SAMPLE BUDGET

Note that the sample illustrates possible expenditures for one year's fellowship competition and that costs of publicity and selection for that competition appear in the fiscal year before the year in which the fellowships are held. A budget for three years of grant competitions would show costs in four fiscal years.

I. Outlays (by year of expenditure)

	Year 1	Year 2	Totals
Direct payments to grantees			
Long-term Fellowship Program			
(twelve-month awards)			
Fellowship stipends			
[2 @ \$28,000]*		56,000	
Travel allowances			
[2 @ \$750]*		1,500	
Total		57,500	
Publicity			
Printing	1,000		
Postage	1,200		
	2,200		
Selection			
Travel of five			
committee members	1,500		
Per diem for same			
for two days	750		
Duplication of applications	50		
	2,300		
Total outlays			
Direct payments to grantees			57,500
Publicity and selection			4,500
Total			62,000

II. Funding

NEH Outright funds	32,000
NEH Matching funds	15,000
Gifts	15,000
Total Funding	62,000

*Indicate in brackets the estimated number of grants and stipend amount to be funded with NEH outright, matching, and gift funds.

APPENDIX

CERTIFICATION INSTRUCTIONS

Certifications. In submitting an application to the NEH, all applicants are required to certify (by signing Block 12 of the application cover sheet) that they are not presently debarred, suspended, declared ineligible, or voluntarily excluded from participating in federally funded programs; are not currently delinquent in the payment of a federal debt; and, if the project is funded by NEH, will have a drug-free workplace program in place within thirty (30) days of the issuance of an award. Institutional applicants must further certify that they are in compliance with the nondiscrimination statutes and NEH's implementing regulations. Finally, when applicants request more than \$100,000 in grant funds, they must certify that no federal funds have been or will be paid to persons to influence the funding decision (lobby) for the proposal that is being submitted for consideration.

These certifications are material representations of fact upon which the Endowment will rely in making funding decisions. If it is later determined that the applicant knowingly provided an erroneous certification or did not comply with the requirements, the Endowment may seek judicial enforcement of the certification or may suspend or terminate the award.

Applicants who cannot certify regarding compliance with the nondiscrimination statutes, the establishment of a drug-free workplace program, or the prohibition of lobbying are **not** eligible for funding from NEH. Although applicants who are unable to certify regarding federal debt status or debarment and suspension are technically eligible to submit an application to NEH as long as they provide a written explanation of their status, they are advised to discuss their particular situation with program staff before beginning work on their proposal.

Applicants who plan to use awards to fund **subgrants, contracts, and subcontracts** should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- 1) certification of compliance with the nondiscrimination statutes from **institutional** applicants and contractors, and
- 2) certification regarding lobbying from those requesting in excess of \$100,000 in grant funds, and
- 3) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required **to include without modification** the following wording in solicitations for all **grant** proposals and for contracts that are expected to equal or exceed \$100,000:
 - a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
 - b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Additional information on the certification requirements is available on the NEH website, <http://www.neh.gov>, or from the NEH Grants Office, Room 311, Washington, D.C. 20506 (202/606-8394).

The text of the certifications follows:

1. Certification Regarding the Nondiscrimination Statutes and Implementing Regulations (Applies to Recipients Other than Individuals). The applicant certifies that it will comply with the following nondiscrimination statutes and their implementing regulations: (a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d *et seq.*) which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance; (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance; (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 *et seq.*) which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 *et seq.*) which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

2. Certification Regarding Federal Debt Status (OMB Circular A-129). The applicant certifies to the best of its knowledge and belief, that it is not delinquent in the repayment of any federal debt.

3. Certification Regarding Debarment and Suspension (45 CFR 1169). The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

4. Certification Regarding Drug-Free Workplace Requirements (Drug-Free Workplace Act of 1988).

(A) The grantee certifies that it will provide a drug-free workplace by

(a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibitions;

(b) establishing an ongoing drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace; (2) the grantee's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;

(c) making it a requirement that each employee to be engaged in the performance of

the grant be given a copy of the statement required by paragraph (a);

(d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will (1) abide by the terms of the statement; and (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;

(e) notifying the agency in writing within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

(f) taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted: (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended; or (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;

(g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

5. Certification Regarding Lobbying Activities (45 CFR 1168) (Applies to Applicants Requesting Federal Funds in Excess of \$100,000). The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

APPLICATION CHECKLIST

1. Twelve copies of the application package, each copy including, in this order:

- _____ a) The NEH application cover sheet (original signed in ink by an authorizing official)
- _____ b) Table of contents
- _____ c) Narrative description (limited to twenty-five or fewer double-spaced pages)
- _____ d) Proposed budget
- _____ e) Appendices
- _____ f) Statement of history of grants

2. Three additional copies of the signed application Cover Sheet

NEH will not accept applications sent via FAX machine or electronic mail.

Please remember the next deadline for postmark of proposals is September 1, 2000.

Send applications to:

National Endowment for the Humanities

Division of Research Programs

1100 Pennsylvania Avenue, N.W.

Washington, DC 20506

EQUAL OPPORTUNITY STATEMENT

Endowment programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to Equal Employment Opportunity Officer, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506. TDD: 202/606-8282 (this is a special Telephone Device for the Deaf).